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09/878,536	06/11/2001	Paul Patrick	BEAS-01084US0	4065

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EXAMINER

PICH, PONNOREAY

ART UNIT	PAPER NUMBER
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2135

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	04/18/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary

Application No.

09/878,536

Applicant(s)

PATRICK, PAUL

Examiner

Ponnoreay Pich

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 22 February 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1,2,4-13,15-19,21-30 and 32-40 is/are pending in the application.
- 4a) Of the above claim(s) 35-39 is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1,2,4-13,15-19,21-30,32-34 and 40 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date 8/23/06, 2/9/07, and 2/22/07.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date: _____
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____

DETAILED ACTION

Applicant's election without traverse of group I (claims 1-2, 4-13, 15-19, 21-30, 32-34, and 40) in the reply filed on 4/2/2007 is acknowledged.

Information Disclosure Statement

Applicant submitted IDS's on 8/23/06, 2/9/07, and 2/22/07. Most of the documents were considered. The foreign documents listed on the IDS submitted on 8/23/06 were not considered because copies of the documents were not provided to the examiner as required by 37 CFR 1.98(a)(2).

Response to Amendment and Arguments

Applicant's amendments and arguments were fully considered, but are moot in view of new rejections made below made in response to the amendments.

Claim Objections

Claims 1 and 18 are objected to because of the following informalities: The examiner respectfully suggests consistent usage of "said" and "the" when referring to the same item. For instance, claim 1 recites, "said" security service" and "the security" service, which the examiner is assuming is meant to refer to the same security service. Claim 18 contains similar informalities with various terms, i.e. protected resource. Appropriate correction is required.

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

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The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1-2, 4-13, 15-19, 21-30, 32-34, and 40 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

1. Claim 1 recites "the access request" in line 10. It is unclear to which access request is being referred, the one in lines 4-5 or the one in line 6.
2. Claim 1 recites "the security service" in line 4, which lacks antecedent basis.
3. Claim 18 recites "a protected resource" in both lines 1 and 8. It is unclear to which protected resource is being referred with later recitation of "the protected resource".
4. Claims not specifically addressed are rejected due to dependency on claims 1 and 18.

Claim Rejections - 35 USC § 102/103

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

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The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1, 13, 15-18, 30, and 32-34 are rejected under 35 U.S.C. 102(e) as anticipated by Sampson et al (US 6,339,423) or, in the alternative, under 35 U.S.C. 103(a) as obvious over Sampson et al (US 6,339,423) in view of Sharma (US 7,089,584).

Claims 1 and 18:

As per claim 1, Sampson discloses:

1. An application container, i.e. browser, which provides services for a protected resource, wherein the application container delegates authorization decisions to a security service by passing an access request to the security service when the application container receives an access request for a protected resource from a client (col 4, line 22-col 5, line 2).
2. Context information, wherein the context information comprises one or more parameter values describing the access request and can be retrieved from the application container by the security service (col 7, lines 23-50).
3. Said security service for making a decision to permit or deny the access request, wherein the security service includes a plurality of security providers that may be plugged into the security service (col 5, lines 6-23; col 6, lines 48-55; and Fig 2, items 240, 260, 280, and 220), and wherein depending on output from each

security provider the security service determines entitlement for the client to use with the protected resource (col 6, line 57-col 8, line 59). *The cited columns describes how each component of the security service interacts with each other to determine whether or not to approve a request to a resource sent from a browser. The decision is dependent on the output from each component and the resulting access control cookies determines the privileges/entitlements of the browser and the client using the browser.*

4. Said security service is located at a first computer, and said protected resource is located either at the same first computer or at a second computer (col 6, lines 21-35).
5. A resource interface for communicating permitted access requests to said protected resource (col 8, lines 52-59 and col 11, lines 10-40).

Sampson does not explicitly disclose the application handler sending a callback handler to the security service, the security service using the callback handler, and wherein the plurality of security providers use the callback handler to request context information from the application container for the access request. However, a callback handler is code that is executed based on an event. Note that Sampson discloses that the security services and the plurality of security providers which makes up the security services is able to cause the browser to redirect and connect to various servers as well as require the user of the browser to authenticate, i.e. provide context information (col 5, lines 47-49 and col 7, line 23-col 8, line 31). Though the term "callback handler" is not

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explicitly used in describing the servers controlling the browser's action, what is described in the cited sections reads on sending a callback handler to the security service, the security service using the callback handler, and wherein the plurality of security providers use the callback handler to request context information from the application container, i.e. browser, for the access request. As such, claim 1 is unpatentable under 35 USC 102(e) over Sampson.

Alternatively, note that Sharma discloses use of sending a callback handler to the security service, the security service using the callback handler to request context information from the application container for the access request (col 11, lines 51-56; col 12, lines 51-56; and col 19, lines 53-56). At the time applicant's invention was made, it would have been obvious to one of ordinary skill in the art to incorporate Sharma's teachings within Sampson's invention according to the limitations recited in claim 1. One skilled would have been motivated to do so because Sharma's teachings would keep security architecture technology neutral and enable a specified security contract to be supported by various security technologies (Sharma: col 5, line 64-col 6, line 2). One skilled would be further motivated to do so because use of callback handlers as taught by Sharma would enable retrieval of authentication data and EIS instance specific information (Sharma: col 20, lines 13-15).

Claim 18 is directed towards a method implemented using the security system of claim 1 and thus is rejected for substantially the same reasons given in claim 1.

Claims 13 and 30:

Sampson further discloses wherein the resource interface includes an interface mechanism to pass access requests to or from a protected resource (Fig 2; col 4, lines 36-56; col 6, lines 47-55; and col 11, lines 10-24).

Claims 15 and 32:

Sampson further discloses wherein the interface mechanism includes a security provider interface (Fig 2; col 4, lines 36-56; col 6, lines 47-55; and col 11, lines 10-24).

Claims 16 and 33:

Sampson further discloses wherein the interface mechanism is included as a plug-in into the resource interface (col 6, lines 47-55).

Claims 17 and 34:

Sampson further discloses wherein the security service further makes a decision on whether to permit or deny a response to the access request from the protected resource to the client (col 6, lines 21-36).

Claims 2, 4, 13, 15-16, 19, 21, 30, and 32-33 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sampson et al (US 6,339,423) in view of Sharma (US 7,089,584).

Claims 2 and 19:

Sharma further discloses wherein the application container of claims 1 and 18 reads an application deployment description and registers the application deployment

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description with the security service (col 6, lines 53-62; col 8, line 62-col 9, line 2; col 10, line 21-24; and col 18, lines 1-12).

Claims 4 and 21:

Sampson and Sharma further disclose wherein the application container is a Web Application container (Sampson: Fig 2, item 210 and Sharma: col 8, lines 16-20).

Claims 13 and 30:

Sampson further discloses wherein the resource interface includes an interface mechanism to pass access requests to or from a protected resource (Fig 2; col 4, lines 36-56; col 6, lines 47-55; and col 11, lines 10-24). Sharma also discloses the limitation (Figs 1A-1C).

Claims 15 and 32:

Sampson further discloses wherein the interface mechanism includes a security provider interface (Fig 2; col 4, lines 36-56; col 6, lines 47-55; and col 11, lines 10-24). Sharma also discloses the limitation (Figs 1A-1C).

Claims 16 and 33:

Sampson further discloses wherein the interface mechanism is included as a plug-in into the resource interface (col 6, lines 47-55). Sharma also discloses the limitation (Figs 1A-1C).

Claims 5-11, 22-28, and 40 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sampson et al (US 6,339,423) in view of Sharma (US 7,089,584) and further in view of Hummel, Jr. et al (US 6,584,454).

Claims 5 and 22:

Sampson further discloses the security service further includes a plurality access decision mechanisms for defining an access policy (Fig 2, items 240, 260, 280, and 220 and col 8, lines 52-59).

Sampson does not explicitly disclose each of the plurality of access decision mechanism can determine its own contributory decision to permit, deny, or abstain from the access request. However, Hummel discloses each of a plurality of access decision mechanism can determine its own contributory decision to permit, deny, or abstain from the access request (col 3, lines 4-20).

At the time applicant's invention was made, it would have been obvious to one of ordinary skill in the art to further modify Sampson's invention according to the limitations recited in claims 5 and 22 in light of Hummel's teachings. One skilled would have been motivated to incorporate Hummel's teachings because it would provide for a system that load balances the decision for resource access. This would allow faster access to resources when a user requests the resource.

Claims 6 and 23:

Hummel further discloses wherein the security service further includes an access controller for transferring the access request to the plurality of access decision mechanisms (col 3, lines 39-42), and for combining the contributory decisions into an

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overall decision by the security service to permit or deny the access request (col 3, lines 39-60).

Claims 7 and 24:

Hummel further discloses wherein one or more of the plurality of the access decision mechanisms represent a business function related access policy (col 3, lines 50-60).

Claims 8 and 25:

Sampson does not explicitly disclose wherein access decisions may be added to the security service to reflect changes in the access policy. However, official notice is taken that the limitation was well known in the art at the time applicant's invention was made because it was well known to be able to replace or update security rules for a security system. At the time applicant's invention was made, it would have been obvious to one of ordinary skill in the art to further modify Sampson's invention according to the limitations recited in claims 8 and 25. One of ordinary skill would have been motivated to do so because it would allow the security system to have the most updated security rules.

Claims 9 and 26:

Sampson further discloses wherein the plurality of the access decision mechanisms are used to define the entitlements for the client to access the protected resource (col 3, lines 20-25 and col 8, lines 52-59).

Claims 10 and 27:

Hummel further discloses wherein a deny or abstain by any one of the plurality of access decision mechanisms causes the security service to deny the access request (col 12, lines 25-32).

Claims 11 and 28:

Hummel further discloses wherein an abstain by any one of the plurality of access decision mechanisms does not cause the security service to deny the access request (col 3, lines 6-11). Note that if the resource/application is open, then the agency model makes a decision to allow access while the policy server is not consulted about the access thereby abstaining from a decision.

Claim 40:

Sampson does not explicitly disclose wherein entitlements comprises at least one of business logic and functionality entitlements. However, Hummel discloses the limitation (col 3, lines 39-60). At the time applicant's invention was made, it would have been obvious to one of ordinary skill in the art to further modify Sampson's invention according to the limitations recited in claim 40. One skilled would have been motivated to incorporate Hummel's teachings within Sampson's for the same reasons given in claim 5.

Claims 12 and 29 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sampson et al (US 6,339,423) in view of Sharma (US 7,089,584) and further in view of Hummel, Jr. et al (US 6,584,454) and Wiederhold (US 6,226,745).

Claims 12 and 29:

Sampson does not explicitly disclose wherein the security service further includes an audit mechanism for auditing the determinations of the plurality of access requests. However, the limitation is disclosed by Wiederhold (col 5, last paragraph and col 6, lines 1-2).

At the time applicant's invention was made, it would have been obvious to one of ordinary skill in the art to further modify Sampson's invention according to the limitations recited in claims 12 and 29. One skilled would have been motivated to do so because it would allow policies that are too stringent or too liberal to be recognized and the system can be adjusted accordingly (Wiederhold: col 3, lines 61-64).

Conclusion

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not

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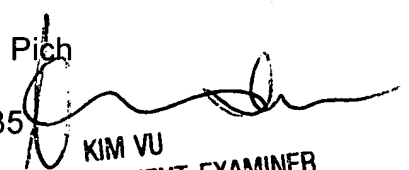
mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ponnoreay Pich whose telephone number is 571-272-7962. The examiner can normally be reached on 9:00am-4:30pm Mon-Thurs.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Vu can be reached on 571-272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Ponnoreay Pich
Examiner
Art Unit 2135


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